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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Naoyuki NISHIKAWA et al.

Group Art Unit: Unknown

Serial No : 09/926,355

Examiner: Unknown

Filed : October 19, 2001

For : TRICYCLIC COMPOUNDS



INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents and Trademarks  
Washington, DC 20231

Sir :

Pursuant to the duty of disclosure set forth in 37 CFR § 1.56 and in accordance with the provisions of 37 CFR §§ 1.97 and 1.98, Applicants hereby bring the following information to the attention of the Examiner:

Tachimoto et al., Nature, 296, p. 659 (1982), which is cited and discussed in the specification beginning at page 1, second paragraph;

International Journal of Obesity, 19, p. 517 (1995), which is cited and discussed in the specification beginning at page 2, first full paragraph;

Endocrinology, 133, p. 1753 (1993), which is cited and discussed in the specification beginning at page 2, first full paragraph;

British Journal of Pharmacology, 95, p. 419 (1988), which is cited and discussed in the specification beginning at page 2, first full paragraph;

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FEBS Letter, Vol. 271, p. 81 (1990), which is cited and discussed in the specification beginning at page 2, second full paragraph;

Journal of Biological Chemistry, Vol. 270, p. 22661 (1995), which is cited and discussed in the specification beginning at page 2, third full paragraph;

Journal of Biological Chemistry, Vol. 270, p. 26762 (1995), which is cited and discussed in the specification beginning at page 2, third full paragraph;

Nature, Vol. 382, p. 168, (1996), which is cited and discussed in the specification beginning at page 2, fourth full paragraph;

Trends in Pharmacological Sciences, Vol. 15, p. 153 (1994), which is cited and discussed in the specification beginning at page 3, first full paragraph;

U.S. Patent No. 5,602,024 to Gerald et al., which is cited and discussed in the specification beginning at page 3, third full paragraph;

WO 96/16542, which is cited and discussed in the specification beginning at page 3, third full paragraph;

WO 97/46250, which is cited and discussed in the specification beginning at page 3, third full paragraph;

WO 97/19682, which is cited and discussed in the specification beginning at page 3, fourth full paragraph;

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WO 97/20820, which is cited and discussed in the specification beginning at page 3, fourth full paragraph;

WO 97/20821, which is cited and discussed in the specification beginning at page 3,

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fourth full paragraph;

WO 97/20822, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 97/20823, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/35944, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/35957, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/40356, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/24768, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/25907, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/25908, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/27063, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

WO 98/47505, which is cited and discussed in the specification beginning at page 3,  
fourth full paragraph;

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WO 98/27965, which is cited and discussed in the specification beginning at page 4, first paragraph, line number 2;

EP 882 726, which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 98/01417, which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 97/40017, which is cited and discussed in the specification beginning at page 4, first full paragraph;

Japanese Patent Unexamined Publication (Kokai) No. 8-301846 (with an English language abstract), which is cited and discussed in the specification beginning at page 4, first full paragraph;

Japanese Patent Unexamined Publication (Kokai) No. 54-017932 (with an English language abstract), which is cited and discussed in the specification beginning at page 4, first full paragraph;

Japanese Patent Unexamined Publication (Kokai) No. 48-054061, which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 95/04720, which is cited and discussed in the specification beginning at page 4, first full paragraph;

Canadian Patent No. 1,299,577, which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 92/15590, which is cited and discussed in the specification beginning at page 4, first

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full paragraph;

WO 98/06717, which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 94/14773, which is cited and discussed in the specification beginning at page 4, first full paragraph;

U.S. Patent No. 3,932,456 to Albrecht et al., which is cited and discussed in the specification beginning at page 4, first full paragraph;

WO 98/11895, which is cited and discussed in the specification beginning at page 4, second full paragraph;

WO 98/06402, which is cited and discussed in the specification beginning at page 4, second full paragraph;

U.S. Patent No. 5,708,187 to Flaugh et al., which is cited and discussed in the specification beginning at page 4, second full paragraph;

U.S. Patent No. 5,814,653 to Flaugh et al., which is cited and discussed in the specification beginning at page 4, second full paragraph;

C. R. Heb. Seances Acad. Sic., 251, p. 2728, 1960, which is cited and discussed in the specification beginning at page 4, second full paragraph;

J. Phamacol. Exptl. Therap., 99, p. 450, 1950, which is cited and discussed in the specification beginning at page 4, second full paragraph;

Journal of Chemical Society, p. 833 (1924), which is cited and discussed in the specification beginning at page 49, first full paragraph;

Journal of Medicinal Chemistry (J. Med. Chem., 36, p. 272 (1993)), which is cited and

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discussed in the specification beginning at page 57, first paragraph;

Journal of Chemical Society, p. 809 (1926), which is cited and discussed in the specification beginning at page 71, fourth paragraph;

Tetrahedron, Vol. 48, No. 11, p. 1999 (1992), which is cited and discussed in the specification beginning at page 90, first paragraph; and

Journal of Heterocycle Chemistry, 27, p. 147 (1990), which is cited and discussed in the specification beginning at page 91, third paragraph.

Further pursuant to the duty of disclosure set forth in 37 CFR § 1.56 and in accordance with the provisions of 37 CFR §§ 1.97 and 1.98, Applicants hereby bring to the attention of the Examiner the International Search Report issued in connection with counterpart International Application No. PCT/JP00/02573, and the following documents cited therein:

WO98/06717 A1 (and counterpart U.S. Patent No. 5,892,041 to Yuan et al.);

Chemical Abstracts, Vol. 55, Column 18702, e (RN=102659-65-4);

EP 555 824 A1, (and counterpart U.S. Patent No. 5,391,556 to Heckel et al.);

JP 9-157253 (with an English language abstract); and

WO 97/09308.

A copy of the International Search Report (along with English language translation thereof) was filed on October 19, 2001 with the present application. The Examiner is referred to the English language translation of the International Search Report for the relevance indicated by the Japanese Examiner for the cited documents with respect to the claims of the International Application.

Copies of the above-noted documents are enclosed. Each document is listed on the

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attached PTO-1449 form to permit the Examiner to indicate consideration thereof.

The Examiner is respectfully requested to consider the documents cited above and to confirm such consideration by initialing in the appropriate spaces on the PTO-1449 form and returning a copy of the initialed form to Applicants.

Applicants note that an Office Action on the Merits has not issued in the instant application, and no fee for consideration of this statement is believed to be due. However, if an Office Action on the Merits has issued, and is crossing this statement in the mail, the undersigned hereby authorizes the Commissioner to charge any fee necessary for consideration of this statement, including any payment under 37 C.F.R. 1.17(p), to be charged to Applicant's Deposit Account No. 19-0089.

Should there be any questions regarding the above or the present application, the Examiner is invited to contact the undersigned at the below-listed number.

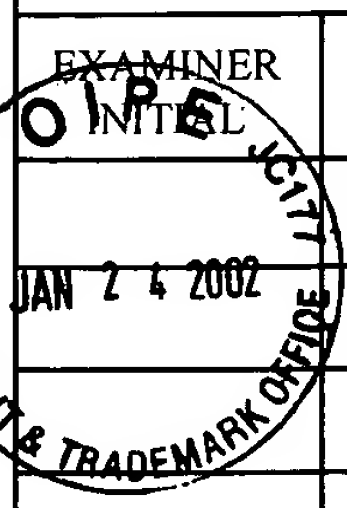
Respectfully submitted,  
Naoyuki NISHIKAWA et al.

  
Bruce H. Bernstein  
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January 23, 2002  
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Form PTO-1449	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. P21587	Serial No. 09/926,355
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)		Applicant Naoyuki NISHIKAWA et al.	
		Filing Date October 19, 2001	Group Unknown

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5 6 0 2 0 2 4	02/11/97	GERALD et al.			
	3 9 3 2 4 5 6	01/13/76	ALBRECHT et al.			
	5 7 0 8 1 8 7	01/13/98	FLAUGH et al.			
	5 8 1 4 6 5 3	09/29/98	FLAUGH et al.			
	5 8 9 2 0 4 1	04/06/99	YUAN et al.			
	5 3 9 1 5 5 6	02/21/95	HECKEL et al.			

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
9 6 / 1 6 5 4 2	06/06/96	W.I.P.O. ✓			
9 7 / 4 6 2 5 0	12/11/97	W.I.P.O. ✓			
9 7 / 1 9 6 8 2	06/05/97	W.I.P.O. ✓			
9 7 / 2 0 8 2 0	06/12/97	W.I.P.O.			
9 7 / 2 0 8 2 1	06/12/97	W.I.P.O.			
9 7 / 2 0 8 2 2	06/12/97	W.I.P.O.			
9 7 / 2 0 8 2 3	06/12/97	W.I.P.O.			
9 8 / 3 5 9 4 4	08/20/98	W.I.P.O.			
9 8 / 3 5 9 5 7	08/20/98	W.I.P.O.			
9 8 / 4 0 3 5 6	09/17/98	W.I.P.O.			
9 8 / 2 4 7 6 8	06/11/98	W.I.P.O.			
9 8 / 2 5 9 0 7	06/18/98	W.I.P.O.			
9 8 / 2 5 9 0 8	06/18/98	W.I.P.O.			
9 8 / 2 7 0 6 3	06/25/98	W.I.P.O.			

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
												YES	NO
	9	8	/	4	7	5	0	5	10/29/98	W.I.P.O.			
	9	9	/	2	7	9	6	5	06/10/99	W.I.P.O.			
		0	8	8	2	7	2	6	12/09/98	E.P.O.			
	9	8	/	0	1	4	1	7	01/15/98	W.I.P.O.			
	9	7	/	4	0	0	1	7	10/30/97	W.I.P.O.			
	8	-	3	0	1	8	4	6	11/19/96	JAPAN			
	5	4	-	1	7	9	3	2	02/09/79	JAPAN			
	4	8	-	5	4	0	6	1	07/30/73	JAPAN			
	9	5	/	0	4	7	2	0	02/16/95	W.I.P.O.			
		1	2	9	9	5	7	7	04/28/92	CANADA ✓			
	9	2	/	1	5	5	9	0	09/17/92	W.I.P.O. ✓			
✓	9	8	/	0	6	7	1	7	02/19/98	W.I.P.O. ✓			
	9	4	/	1	4	7	7	3	07/07/94	W.I.P.O. ✓			
	9	8	/	1	1	8	9	5	03/26/98	W.I.P.O. ✓			
	9	8	/	0	6	4	0	2	02/19/98	W.I.P.O. ✓			
	9	8	/	0	6	7	1	7	02/19/98	W.I.P.O. ✓			
✓		0	5	5	5	8	2	4	08/18/93	E.P.O.			
✓	9	-	1	5	7	2	5	3	06/17/97	JAPAN			
✓	9	7	/	0	9	3	0	8	03/13/97	W.I.P.O.			

1 English Language Abstract of JP 8-301846.

2 English Language Abstract of JP 54-17932.

3 English Language Abstract of JP 9-157253.

4 Tachimoto et al., Nature, 296, p. 659 (1982).

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				Filing Date October 19, 2001		Group Unknown	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
		5		International Journal of Obesity, 19, p. 517 (1995).			
		6		Endocrinology, 133, p. 1753 (1993).			
		7		British Journal of Pharmacology, 95, p. 419 (1988).			
		8		FEBS Letter, Vol. 271, p. 81 (1990).			
		9		Journal of Biological Chemistry, Vol. 270, p. 22661 (1995).			
	1	0		Journal of Biological Chemistry, Vol. 270, p. 26762 (1995).			
	1	1		Nature, Vol. 382, p. 168, (1996).			
	1	2		Trends in Pharmacological Sciences, Vol. 15, p. 153 (1994).			
	1	3		C. R. Heb. Seances Acad. Sic., 251, p. 2728, 1960.			
	1	4		J. Pharmacol. Exptl. Therap., 99, p. 450, 1950.			
	1	5		Journal of Chemical Society, p. 833 (1924).			
	1	6		Journal of Medicinal Chemistry (J. Med. Chem., 36, p. 272 (1993)).			
	1	7		Journal of Chemical Society, p. 809 (1926).			
	1	8		Tetrahedron, Vol. 48, No. 11, p. 1999 (1992).			
	1	9		Journal of Heterocycle Chemistry, 27, p. 147 (1990).			
	2	0		Chemical Abstracts, Vol. 55, Column 18702, e (RN=102659-65-4).			
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